



PATENT

THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: Byron B. Han *et al.*  
APPLICATION NO.: 09/990,887  
FILING DATE: November 21, 2001  
TITLE: STORAGE VOLUME HANDLING SYSTEM WHICH UTILIZES DISK  
IMAGES  
EXAMINER: UNKNOWN  
GROUP ART UNIT: 2754  
ATTY. DKT. NO.: 18602-06514 (P2016R1)

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Box Missing Parts, Commissioner For Patents, Washington, DC 20231, on the date shown below:

Dated: March 29, 2002

By:

Kirk A. Gottlieb, Reg. No. 42,596

BOX MISSING PARTS  
COMMISSIONER FOR PATENTS  
WASHINGTON, DC 20231

INFORMATION DISCLOSURE STATEMENT

Under 37 CFR §§ 1.56 and 1.97-98

SIR:

Pursuant to the provisions of 37 CFR §§ 1.56 and 1.97-98, enclosed herewith is modified form PTO-1449 listing references for consideration by the Examiner. Enclosed is a copy of each listed reference that may be material to the examination of this application, and for which there may be a duty to disclose.

The filing of this Information Disclosure Statement shall not be construed as a representation regarding the completeness of the list of references, or that inclusion of a reference in this list is an admission that it is prior art or is pertinent to this application, or that a search has been made, or as an admission that the information listed is, or may be considered to be, material to patentability, or that no other material information exists, and shall not be construed as an admission against interest in any manner.

This Information Disclosure Statement is being filed:

- ☒ within three months of the filing date of the application, or date of entry into the national stage of an international application, or before the mailing date of a first office action on the merits, whichever event last occurred;

- ☐ before the mailing of a first official action after the filing of a request for continued examination (RCE) under 37 CFR § 1.114;
- ☐ after three months of the filing date of this national application or the date of entry of the national stage in an international application, or after the mailing date of the first official action on the merits, whichever event last occurred, but before the mailing date of the first to occur of either: (1) a final action under 37 CFR § 1.113; or (2) an action that otherwise closes prosecution in the application, and:
  - ☐ attached hereto is the fee set forth under 37 CFR § 1.17(p) for submission of this Information Disclosure Statement under 37 CFR. § 1.97(c); OR
  - ☐ Applicant certifies pursuant to 37 CFR § 1.97(e) that:
    - ☐ each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; OR
    - ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this certification after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement;
- ☐ before the payment of the issue fee but after the mailing date of the first to occur of either: (1) a final action under 37 CFR § 1.113; or (2) an action that otherwise closes prosecution in the application, and:
  - ☐ Applicant certifies pursuant to 37 CFR. § 1.97(e) that:
    - ☐ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; or
    - ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this certification after making reasonable inquiry, no item of

information contained in this Statement was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement; AND


- ☐ attached hereto is the fee set forth under 37 CFR §1.17(p) for submission of this Information Disclosure Statement under 37 CFR. § 1.97(c); OR
- ☐ after the payment of the issue fee. Applicant request that the information contained in this Information Disclosure Statement be placed in the file according to 37 CFR § 1.97(i), although the information may not be considered by the USPTO.
- ☒ This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior application No. 08/713,500, filed on September 13, 1996, now U.S. Patent No. 5,991,542, and the references cited therein are hereby referenced, but are not required to be provided in this application under 37 CFR § 1.98(d). However, copies of the references are provided herein for the Examiner's convenience.
- ☐ Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application, and the communication was not received by any individual designated in 37 CFR § 1.56(c) more than thirty days prior to the filing of this Information Disclosure Statement. 37 CFR § 1.704(d).
- ☒ Applicant submits that no fee is required for the consideration of this Information Disclosure Statement.

Consideration of the listed references and favorable action are solicited.

Respectfully submitted,

BYRON B. HAN *et al.*

Dated: March 29, 2002

By:   
Kirk A. Gottlieb, Reg. No. 42,596  
Attorney for Applicants  
Fenwick & West LLP  
Two Palo Alto Square  
Palo Alto, CA 94306  
Tel.: (415) 875-2414  
Fax: (415) 281-1350

<b>FORM PTO-1449</b> (REV. 6-89)		U.S. DEPARTMENT OF COMMERCE Patent and Trademark Office		Attorney's Docket No. 18602-06514	Application No. 09/990,887
<b>INFORMATION DISCLOSURE CITATION</b> (Use several sheets if necessary)				Applicant Byron B. Han <i>et al.</i>	
				Filing Date November 21, 2001	Group Art Unit 2754

### U.S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
	A1	5,838,910	03/1996	Domenikos <i>et al.</i>	395	200
	A2	5,778,384	07/1998	Provino <i>et al.</i>	707	200
	A3	5,604,906	02/1997	Murphy <i>et al.</i>	395	712
	A4	5,555,416	09/1996	Owens <i>et al.</i>	395	700
	A5	5,504,842	04/1996	Gentile	395	114
	A6	5,493,649	02/1996	Slivka <i>et al.</i>	395	185
	A7	5,452,454	09/1995	Basu	395	700
	A8	5,426,645	06/1995	Haskin	370	118
	A9	5,394,534	02/1995	Kulakowski <i>et al.</i>	395	425
	A10	5,374,916	12/1994	Chu	340	146
	A11	5,367,698	11/1994	Webber <i>et al.</i>	395	800
	A12	5,363,487	11/1994	Willman <i>et al.</i>	395	275
	A13	5,353,061	10/1994	Rodriguez <i>et al.</i>	348	409
	A14	5,325,532	06/1994	Crosswy <i>et al.</i>	395	700
	A15	5,298,992	03/1994	Pietras <i>et al.</i>	348	415
	A16	5,230,052	07/1993	Dayan <i>et al.</i>	395	700
	A17	5,179,378	01/1993	Ranganathan <i>et al.</i>	341	51
	A18	5,001,628	03/1991	Johnson <i>et al.</i>	364	200
	A19	4,864,572	09/1989	Rechen <i>et al.</i>	371	2

EXAMINER	DATE CONSIDERED
----------	-----------------

EXAMINER: Initial if references considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered.  
 Include copy of this form with next communication to applicant.